REVISION A

Perform OSMA Support Contractor COTR Function

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Date

DOCUMENT HISTORY LOG

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Baseline		January 13, 2000	
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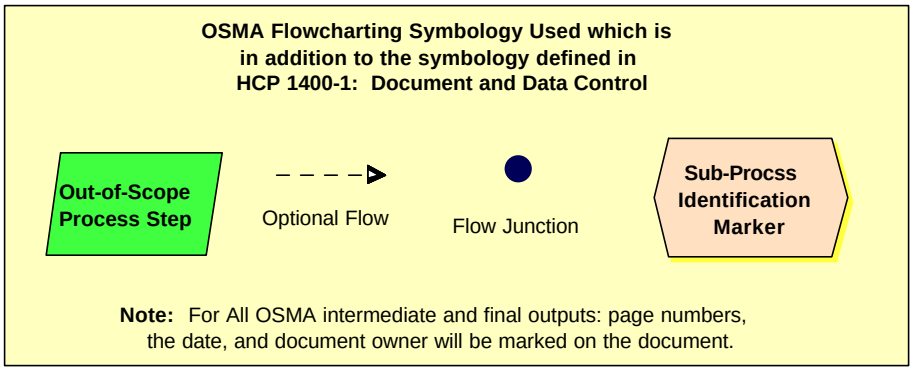


1. Purpose

The purpose of this Office of Safety and Mission Assurance (OSMA) Headquarters Office Work Instruction (HOWI) is to document the process for OSMA Support Contractor Contracting Officer Technical Representative (COTR) Function. This OSMA HOWI provides the flowchart, task order form to be used and the rules for using the form for task initiation. Additionally, this OSMA HOWI specifies the Quality Records associated with performing the COTR function.

2. Scope and Applicability

This OSMA HOWI is applicable to the OSMA Support Contract for all OSMA Staff Members leading tasks or performing COTR functions. (currently: NASW-99010). New Tasks for the contract may be generated from the following sources:

- OSMA Staff at NASA Headquarters (Codes Q, QE and QS)
- Chief, NASA Headquarters Facilities and Security Branch (Code CFS)

The form presented in Appendix A of this OSMA HOWI is the only acceptable form that can be used for task initiation. In April 1999, this form was generated in Microsoft Word for Contract start. The form in Appendix A will be used until it is replaced by a form developed in the software package *Informed*, however the form in Appendix A will remain as a valid form for tasks issued prior to the date of the *Informed* form introduction.

> Note: Even though Code CFS tasks may be included in the OSMA Support Contract, Code CFS personnel are out-of-scope for his HOWI. The COTR will act as the agent for Code CFS personnel acting as the TM.

3. Definitions

3.1. Contracting Officer (CO): The NASA employee who has the authority to enter into, administer, or terminate contract NASW-99010, and to make related determinations and findings.

3.2. Contracting Office Technical Representative (COTR): The OSMA Staff member who is the CO's delegated representative for managing technical aspects of contract NASW-99010.

3.3. Division Director (DD): The DD is a member of OSMA Management who supervises the TM for this Task. For the purpose of this OSMA HOWI, the DD's include:

- Director, Safety and Risk Management Division (Code QS)
- Director, Enterprise Safety and Mission Assurance (Code QE)
- Chief, Headquarters Facilities and Security Branch (Code CFS)

In their absence the Associate Administrator for Safety and Mission Assurance or his Deputy may approve a new Task for Code Q Divisions.

3.4. OSMA Staff: The OSMA Staff Members in Codes QE, QS and the Code Q Front Office. (Excludes Codes Q-1 and QA)

3.5. Task Manager (TM): The TM is the OSMA or Code CFS Staff Member who is assigned responsibility for the management of the individual task order. Once assigned, the TM remains responsible for the task through completion and closeout of the task.

3.6. Task Order (TO): The Contract NASW-99010 is a Cost Plus Incentive Fee, Task Order type of contract. All work to be performed on the contract must be initiated under separate TOs. For more information on the legal requirements of this type of contract, contact the COTR or CO.

3.7. Task Plan (TP): The Contractor-developed plan for accomplishing the work identified in the Task Order.

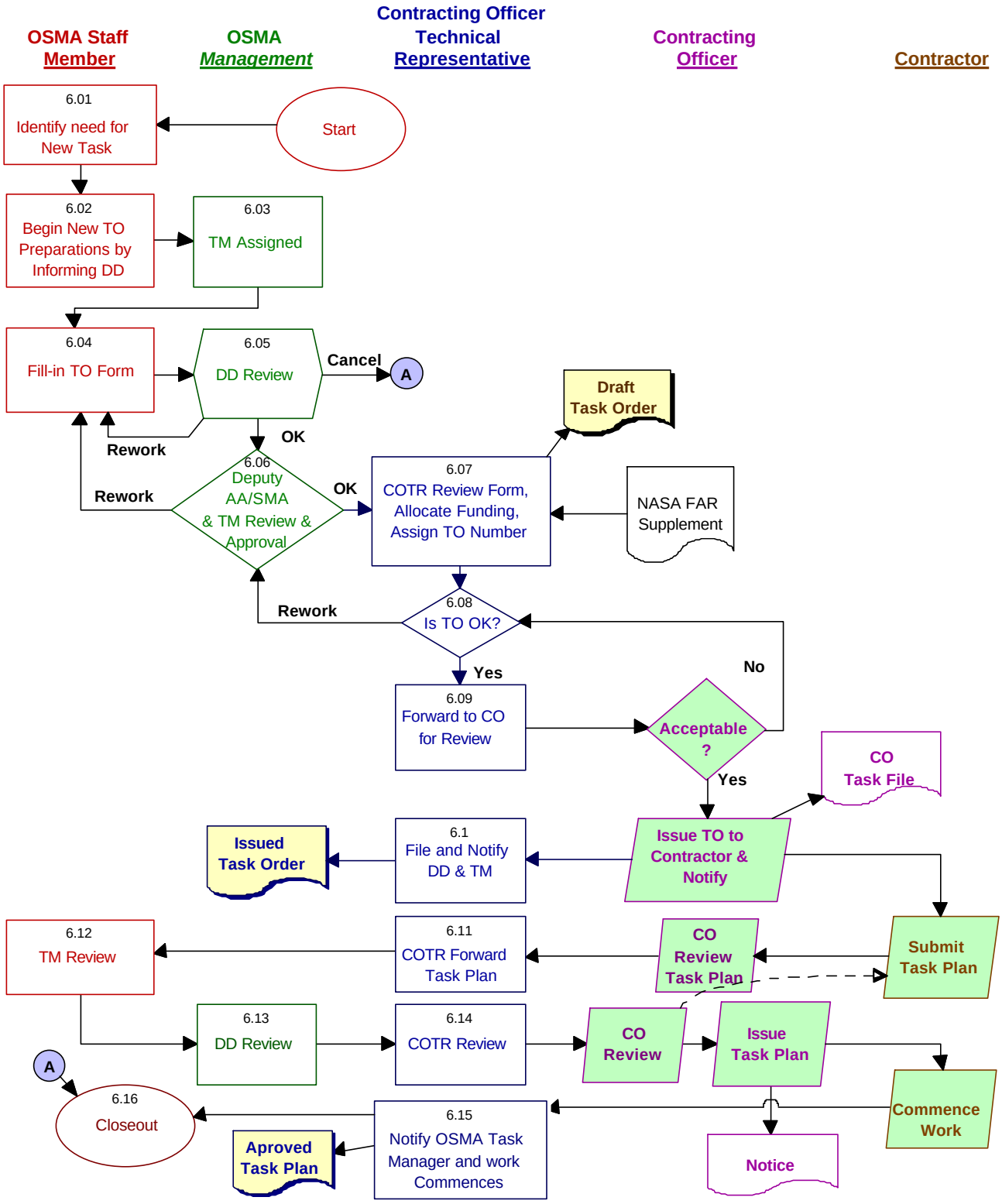
4. Reference Documents

The documents listed in this section are used as reference materials for performing the processes covered by the Quality Management System (QMS). Since all NASA Headquarters Level 1 (QMS Manual) and level 2 (Headquarters Common Processes) documents are applicable to the QMS, they need not be listed in this Section unless specifically referenced in this OSMA HOWI.

4.1. NASW-99010 of March 1999

4.2. NASA FAR Supplement

5. Flowchart


OSMA Staff Member
OSMA Management
Contracting Officer Technical Representative
Contracting Officer
Contractor
6.01 Identify need for New Task
Start
6.02 Begin New TO Preparations by Informing DD
6.03 TM Assigned
6.04 Fill-in TO Form
6.05 DD Review
Cancel
A
Draft Task Order
Rework
OK
6.06 Deputy AA/SMA & TM Review & Approval
Rework
OK
6.07 COTR Review Form, Allocate Funding, Assign TO Number
NASA FAR Supplement
Rework
6.08 Is TO OK?
No
Yes
6.09 Forward to CO for Review
Acceptable ?
Yes
CO Task File
Issued Task Order
6.1 File and Notify DD & TM
Issue TO to Contractor & Notify
6.12 TM Review
6.11 COTR Forward Task Plan
CO Review Task Plan
Submit Task Plan
A
6.13 DD Review
6.14 COTR Review
CO Review
Issue Task Plan
Commence Work
6.16 Closeout
Aproved Task Plan
6.15 Notify OSMA Task Manager and work Commences
Notice

6. Procedure

6.01 OSMA Staff Member — Identify Need for New Task:

The need to create a new task for contract NASW-99010 can be identified through a wide variety of means. The means include, but are not limited to: ongoing work, direction from higher authority, regulatory, NASA policy, intra-Headquarters agreement, inter-Center agreement, inter-Agency agreement.

** Tasks must be within the scope of the contract NASW-99010 **

6.02 OSMA Staff Member — Begin New TO Preparations by informing DD:

The OSMA Staff Member(s) working in the area to be performed, identifies the basic parameters of the proposed task. The OSMA Staff member(s) then briefs their DD to get permission to proceed with the Task Order (TO) development.

6.03 DD — TM Assigned:

The DD assigns a Task Manager (TM) to be responsible for the Proposed TO.

6.04 TM — Fill-in TO Form:

The TM Fills in sections 1 through 7 of the TO Form. Appendix A defines how to fill in each block on the TO Form. The form is forwarded electronically to the DD. A copy of the Statement of Work is included as Appendix B and the Incentive Fee Plan is included as Appendix C.

6.05 DD with TM — DD Review:

The DD reviews the Draft TO with the TM and they agree on the content of the TO Form. The Draft TO may be returned for rework or canceled if the DD decides that it is not needed. When the DD and the TM agree that the Draft TO is complete per Appendix A, the DD's signature is added to a paper copy of Section 8. The TO is then forwarded to the Deputy AA/SMA for review and approval.

6.06 Deputy AA/SMA with TM — Deputy AA/SMA & TM Review and Approval:

The Deputy AA/SMA reviews the Draft TO normally with the DD and TM. The Deputy AA/SMA reviews the concept for the potential cost vs the potential benefit. The Deputy AA/SMA determines if it is in OSMA's best interest for the contractor to do the intended work. If the Deputy AA/SMA determines that the concept requires further definition, the TM is directed to update the TO. TO's to be issued are forwarded to the COTR for further processing.

6.07 COTR — COTR Review Form, Allocate Funding and Assign TO Number:

The Contracting Officer Technical Representative (COTR) reviews the data on the TO Form to ensure completeness and calculates the estimated cost of the proposed task and determines if funding is available. If more data or clarification is needed, the COTR contacts the TM and/or the DD for the information and then updates the TO. A sequential serial number is assigned to the proposed TO Form and it is stored as a Quality Record.

6.08 COTR — Is TO OK?

If the TO Form is adequate per Appendix A and reference 4.1, the COTR forwards the completed Draft TO to the Contracting Officer (CO). If corrections are required or funding is not available, the proposed task is returned to the responsible DD.

6.09 COTR — Forward to CO for Review:

The COTR forwards the proposed TO Form to the CO.

The CO opens an official record for the Task. The CO checks the proposed TO form against contract NASW-99010 and applicable NASA regulations. If the TO is not acceptable, the proposed TO is returned to the COTR for correction. COTR may return the TO to TM for rework.

If the TO is acceptable, the TO is sent to the Contractor to begin the Task Plan. The CO notifies the COTR that the Draft Task has been issued.

6.10 COTR — File and Notify DD & TM:

The COTR files the issuing information from the CO and notifies the DD and the TM that the TO has been issued and the contractor may begin work on the Task Plan and filed as a Quality Record.

6.11 TM — COTR Forwards the Task Plan:

The Task Order provides the Contractor with the information and support defined for the task. The Contractor submits the Task Plan in accordance with the direction in the Contract NASW-99010. For a non-Emergency Task, the TP is due to the CO within 5 business days. For Emergency Tasks, the TP is due within 1 business day. (See reference 4.1)

The CO will review the Task Plan and forward a copy to the COTR for review. Review/rejection/acceptance comments are returned to the Contractor and the TP, with review, is added to the CO Task File.

The Task Plan (TP) is reviewed and comments are forwarded to the COTR.

The COTR will review the Task Plan and forward a copy to the TM for review. Completed comments from the COTR and the TM are returned to the CO and a copy of the TP, with review, is added to the COTR Task File. Once the Contractor receives notification that the TP is acceptable, the Contractor may commence work on the Task.

6.12 TM TM Review:

The TM reviews the TO and the TP for completeness. The TM prepares a written evaluation of the TP how it meets the needs that started the TO drafting and as the TO was issued. The evaluation is forwarded on to the DD.

6.13 DD DD Review:

The DD reviews the TP against the TO and forwards his evaluation on to the COTR with a recommendation of approval. Or an explanation if it is not complete

6.14 COTR COTR Review:

The COTR reviews the TM & DD review of the TP and forwards a recommendation to the CO to approve and issue the Task or reject the TP.

6.15 COTR Notify OSMA Task Manager and Closeout:

The COTR notifies the TM that the CO has issued the TP. Work can commence and managing of the task commences and is filed as a Quality Record.

6.16 TM Closeout:

The TM remains responsible for managing the Task through completion. The HOWI can be closed after the work commences.

7. Quality Records

Record ID	Owner	Location	Media Electronic /hardcopy	Schedule Number & Item Number	Retention & Disposition
Draft Task Order	COTR	COTR File Area	Electronic	Schedule: 5 Item: 25.A	Keep until Task Plan issued then forward to CO with CO permission
Issued Task Order	COTR	COTR File Area	Electronic	Schedule: 5 Item: 25.A	Contract length plus 1 year then forward to CO with CO permission
Approved Task Plan	COTR	COTR File Area	Electronic	Schedule: 5 Item: 1.F	Contract length plus 1 year then forward to CO with CO permission

Note: The CO's files are out of scope for this HOWI, HOWEVER, the task information is required to be kept in accordance with Federal Acquisition Regulations so is listed here for completeness.

APPENDIX A: Support Contractor Task Order Form

The blank Support Contractor Task Order Form is attached. The rules with filling out the form are below:

Section 1: Task Management Identification Data

Task Order Title	Limited to 75 Characters
Date TO Drafted	mm/dd/yyyy format
Responsible Division	OSMA Division with lead responsibility for the task. Note: This is not necessarily the Division that the TM is in.
Task Manager/Phone:	The TM. Must be a member of OSMA Staff as defined in Section 3 above.
Supporting Staff:	Other NASA employee(s) who the Contractor may contact for management information on the Task. There must be a minimum of 1 person listed. They do not have to be an OSMA Staff Member.

Section 2: Tasking Requirements Data

Task Priority Level: Tasking may be "Routine", "Critical", "Urgent" or "Emergency". Tasks will normally be assigned "Routine" priority unless:

- When an "Emergency" task is issued, the contractor must begin working on the task within 24 hours of issuance. Emergency tasks require that these task take priority over all other tasks per the NASW-99010 Contract. Renegotiation of lower priority task schedules may be required.
- Urgent and Critical Task Priorities may be assigned by the Associate Administrator or his Deputy and imply higher priority to work the task to the Contractor. Renegotiation of lower priority task schedules may be required.

Justification	self explanatory
Background	This field is to provide the Contractor with adequate information to understand why the task is being issued. The background should include information on the history of related work, prior tasks, assumptions which have been made in developing the TO and an explanation of any issues which affect the criticality of the Task (e.g., Task will have White House interest)
Task Requirements:	This field is to provide a very detailed explanation of what is to be accomplished by the task. The requirements should contain enough detail for an "outsider" to be able to work the task without NASA direction. The Contractor will ONLY be permitted to work on the work defined in this section (as further explained in the remainder of the form). Great care should be taken to ensure completeness because omitted or unclear items may result in the Contractor having to renegotiate the Task Order schedule and cost.

Impact on NASA Missions: Are there any NASA missions or projects which are directly being affected by the Task.

Related Tasks: Provide the TO number and the reason for the linkage. This includes Tasks under the NASW-99010, which are ongoing, completed and proposed.

Critical Path Impact: This field indicates if this task is a part of a larger work effort where this task will impact the results or schedule of the related tasks. An explanation is required so the criticality can be understood by the Contractor.

Critical Lead Times: Are there any long lead items involved with this Task. Also identify any items outside of the Contractor's control which may affect the completion schedule of the Task. (e.g., it will take 1 month for a new piece of software to arrive, the document being evaluated will not be ready for 1 month).

Applicable SOW Item: The NASW-99010 SOW listing is attached as Appendix B.

Objective Evidence: This section is extremely important for a Task Order Contract. Since the Contractors will not be sitting near the OSMA staff and the TM, this section MUST define in detail how the Contractor will know that they are done with the task. The Contractor CANNOT be held accountable for items not listed in this section. This field must be carefully written.

Section 3: NASA Provided Support to Tasking

Items NASA will provide: What physical things will NASA provide the Contractor to perform the task? If these items are not provided with the Task Order, then a date must be filed into the right block. The Contractor cannot proceed with the Task until NASA provides the listed data.

Other: Other non-physical items to be provided with the Task. (e.g., access to SOLAR/PDI). An explanation must accompany the listing.

Contacts NASA will make: Provide the name for contacts that the OSMA staff will make on behalf of the Contractor to help perform the required work. Provide a reason why that contact is important and what is to be accomplished by the contact. (e.g., MSFC/Vyga Kulpa will be contacted to arrange for visitation to MSFC and to initiate setup of interviewee schedules.)

Other: Self-explanatory

Section 4: Task Milestone Data

Status Reports: Check the box if status reports will be required. If required, then the frequency of the report (e.g.; weekly, 2 weeks) is indicated. The term "1/2 of Task Length" indicates that approximately 1/2 way through the task, the Status report is required. For "1/3 of Task Length" a status report is required at 1/3 and 2/3 of the task performance period. Media defines how the report is to be made (e.g.; verbal, electronic, e-mail,…) and the content defines what is to be contained in the report.

Milestones: List any critical milestones in the tasking (e.g.; the first of 3 analyses are completed).

Meetings:	First there is a check box if meeting support will be required. If required, then the type of support is indicated. Either as "Support" (provide backup materials for the OSMA Staff member to attend, attend electronically (via telephone or ViTS) or in person attend. The frequency of the report (e.g.; weekly, 2 weeks) is indicated. The term "1/2 of Task Length" indicates that approximately 1/2 way through the Task, the Status report is required. For "1/3 of Task Length" a status report is required 1/3 and 2/3 of the Task performance period. Media defines how the report is to be made (e.g.; verbal, electronic, e-mail,…) and the Description block is for a description of the meeting.

Section 5: Task Deliverables

DRAFT	First there is a check box if a Draft Deliverable (or interim deliverable) will be required. If required, then the date, format and content of the deliverable must be provided.
Final	A minimum of one formal deliverable is required for all Tasks.

Section 6: Incentive Fee Weighting

The 4 areas must add up to 100% of the total incentive fee. The areas are defined in the Incentive Fee Plan from NASW-99010 contract which is included as Appendix C to this OSMA HOWI. The nominal weighting is provided on the form. Each area must have a minimum of 10% of the fee weighting.

Section 7: Government Estimate of the Task Cost

This section will NOT be provided to the Contractor. NASA personnel are not to discuss the Contractor's bid with the Contractor prior to delivery of the Task Plan by the Contractor. The COTR will estimate the Task Cost using the data provided. The fields for this section are as follows:

Senior Engineer/Analyst	This person has 20 to 30 years of experience
Mid-Level E/A	This person has 10-15 years of experience
Junior Engineer/Analyst	This person has 2 to 8 years of experience
Tech Editor/Writer	This person provides for documentation building, composing and editorial review
Management Overlay	nominally 15% overlay is added for most tasks. For tasks which require more or less management above the Engineer level, this field may be input.
Estimated Travel:	Indicate the number of trips, people per trip and days/trip. DO NOT include a travel day in the estimate. (e.g.; a 1 day meeting is listed as 1 day of travel). The COTR will add travel days in his calculation.
Other expenses:	List in this field any additional costs the Contractor may have to pay during the Task. This includes high priced consultants, purchasing software, registration fees or special materials). The COTR will automatically include a budget for telephone, postage and other administrative charges.

Section 8: Approvals

This section will not be provided to the Contractor. This section will only be a paper copy for the MS Word version of the TO Form. The signatures will be electronic with the *Informed* TO Form. The TO should be printed out and signed. The COTR will keep the signed form.

NASA Headquarters Office of Safety and Mission Assurance
Support Contractor Task Order Form
Contract NASW-99010 Task Order Number

SECTION 1: TASK MANAGEMENT IDENTIFICATION DATA

Task Order Title:

Date Task Order Drafted:

Responsible Division: Code ????

Task Manager: ? Phone Number: 202/358-

Supporting Staff: * minimum 1 req'd *	Phone Number: 202/358-
Supporting Staff: none	Phone Number: 202/358-
Supporting Staff: none	Phone Number: 202/358-

SECTION 2: TASKING REQUIREMENTS DATA ** BE SPECIFIC **

Task Priority Level: Routine

Justification for Priority Level assigned if "Urgent," "Critical" or "Emergency" Tasking:	n/a
Background, assumptions and critical issues:	(fill-in)
Task Requirements: ** Be Specific **	(fill-in)
Impact on NASA Missions:	none
Related Tasks: *(List Task Number and explanation of relationship)*	none
Does this task impact a Critical path? *(describe the criticality and why this task impacts)*	none
Any known critical lead times? *(describe)*	none

Applicable SOW Item: SOW ????.? ?

Objective Evidence of Successful Completion of the Task:

Item	Category *(at least 1 required)*	Specific Standard
1)	Completeness	(fill-in)
2)	n/a	
3)	n/a	
4)	n/a	
5)	n/a	
6)	n/a	

SECTION 3: NASA PROVIDED SUPPORT TO TASKING

Items NASA will provide:

Item	Item Description	Date to be provided (check box if at Task Start or fill in date)
1)	n/a	☐
2)	n/a	☐
3)	n/a	☐
4)	n/a	☐

Other information on when items will be provided: n/a

Contacts NASA will make for the Contractor:

Item	Location or Person & Reason For Contact to be Made	Date Contact will be made (check box if at Task Start or fill in date)
1)	none	☐
2)	none	☐
3)	none	☐
4)	none	☐

Other NASA Inputs to Contractor for task: none

SECTION 4: TASK MILESTONE DATA

Status Reports Required? ☐ (Check if required)

Report Frequency	Media	Content of Report
n/a	n/a	none
n/a	n/a	none
n/a	n/a	none
n/a	n/a	none

Explain any other milestones during the task: none

Any Meetings to be supported? ☐ (Check if required)

Support Type	Number of Meetings	Meeting Description
none required	0	n/a
none required	0	n/a
none required	0	n/a
none required	0	n/a

SECTION 5: TASK DELIVERABLES

DRAFT Deliverables Required? ☐ (Check if required)

Date Due	Format	Content of Deliverable
	none	
	n/a	
	n/a	
	n/a	

FINAL Deliverables *(a minimum of 1 deliverable is required)*

Date Due	Format	Content of Deliverable
	Full Report	
	n/a	
	n/a	
	n/a	

SECTION 6: INCENTIVE FEE WEIGHTING

Area	Nominal Weighting	Weighting for this Task
Plan	15%	15%
Cost	20%	20%
Schedule	25%	25%
Satisfaction	40%	40%

SECTION 7: GOVERNMENT ESTIMATE OF THE TASK COST

*** NOTE: THIS SECTION WILL NOT BE PROVIDED TO THE CONTRACTOR ***

Personnel Level	Hours
Senior Engineer/Analyst	0
Mid-level Engineer/Analyst	0
Junior Engineer/Analyst	0
Tech Editor/Writer	0

Management Overlay (Nominally 15%): 15%

Estimated Travel Expenses: # Trips: 0 Avg. # People/Trip: 0. Avg. # Days/Trip: 0.

Other Expenses: Describe: none Cost: $0

SECTION 8: TASK ORDER APPROVAL

Task Manager Signature: _____ Date: _____

Division Manager Signature: _____ Date: _____

COTR Signature: _____ Date: _____

CO Signature: _____ Date: _____

Date Sent to Contractor: ____/_____/1999 Means sent to Contractor: _____

Date Contractor accepted T.O. _____

Date Task Plan Submitted: _____

Date Task Plan Accepted: _____ Task Plan Comments? _____

APPENDIX B: NASW-9910 Statement of Work

The NASW-99010 Statement of Work (Attachment A to the Contract) is included below.

INTRODUCTION

The Office of Safety and Mission Assurance (OSMA) mission is to assure the safety and enhance the success of all NASA activities through the development, implementation, and insight/oversight of agencywide safety and mission assurance (SMA) policies and procedures. In addition, OSMA renders risk management consultation, performs independent SMA assessments, and provides recommendations on critical Agency safety decisions to NASA corporate management.

OSMA establishes and assures compliance with NASA SMA strategies, policies, and standards. The Office supports decision-making by improving methodologies for risk identification, assessment, and providing recommendations for risk mitigation and acceptance. The Office assures the implementation of advanced quality concepts and concurrent engineering techniques to effectively integrate safety, reliability, maintainability, and quality assurance (SRM&QA) requirements into all phases of a product's life cycle. It also sponsors the innovation and rapid transfer of SRM&QA technologies, processes, and techniques to improve safety and reliability and reduce the cost of mission success. OSMA has implemented a process verification program for managing, assessing, and improving internal SMA processes.

OSMA directs the thorough, prompt, and accurate investigation, reporting, and analysis of NASA incidents and accidents, and ensures resolution of all investigation-related recommendations. In addition, the Office performs thorough and expeditious independent assessments of programs and flight and ground operations to ensure that NASA missions are conducted safely and have a high probability of meeting their objectives. OSMA frequently performs high priority independent SRM&QA assessments for complex technical and engineering projects such as the Space Shuttle, the International Space Station, reusable launch vehicles, aircraft, payloads, spacecraft, and ground based systems.

1000 General - Office of Safety and Mission Assurance (OSMA)

(1) Assist in the development of NASA policy directives, guidance documents and technical standards. Support includes technical research and investigation, document review, assistance in disposition of comments, and coordination of entry into NASA on-line database systems, such as the NASA On-line Directives Information System (NODIS)

(2) Provide technical assistance in the development, modification, adaptation, technical evaluation, and dissemination of Safety, Reliability, Maintainability, and Quality Assurance (SRM&QA) materials and courses.

(3) Provide technical assistance to OSMA in the planning, preparation, conduct, and reporting of reviews conducted to evaluate SRM&QA processes.

(4) Conduct technical assessments of selected problems, provide findings, and suggest corrective actions. Analyze lessons learned for future impact. This requires knowledge of aerospace hardware/software design, fabrication, test operations, flight and mission operations, and human reliability.

(5) Provide technical assistance to failure investigation teams on selected mishap and problem/process investigations.

(6) Provide technical assessment and evaluation of current and emerging quality tools and practices. Recommend changes or additions to improve effectiveness of technical data, results of national/international initiatives in "continual improvement," the use of quality metrics, and increased use of process controls.

(7) Identify actions and approaches necessary to assure the NASA quality approach is consistent and, where possible, compatible with those of other U.S. space and aeronautics programs and those of international partners.

1100 NASA Process Verification and Independent Assessment

(1) Assist in the development and continuous improvement of standard operating procedures for, and the conduct of, SMA process verification reviews of NASA SMA offices at field installations to evaluate conformance with prescribed assurance policies, standards, and procedures.

(2) Analyze findings from NASA field installation self-assessments to identify areas of recurring problems.

(3) Assist in the identification of technical and functional problems, issues, processes, and system requirements that may be candidates for OSMA assessment.

(4) Conduct independent assessments of identified problems and recommend corrective actions. Recommendations, when applicable, shall address launch/mission risk.

1200 System Safety and Risk Management

(1) Assist in the development, modification, or adaptation of tools for use in systems safety assessment and risk management; e.g. tools for risk identification, analysis, documentation, and tracking. The term “risk” includes technology, cost, schedule, reliability, maintainability**,** and safety risks**.**

(2) Develop informational and promotional means to help increase knowledge of, and use of risk management and system safety methodology. This may include the development of workshops and support for risk management/ system safety team or committee meetings.

1300 Nuclear Safety

(1) Assist in the review of the Environmental Impact Statements or Environmental Assessments submitted to the Environmental Protection Agency for space missions using nuclear sources.

(2) Participate in the development and/or review of nuclear safety analyses which predict radiological risk from accidents involving spacecraft and launches containing nuclear sources.

1400 Operational Safety

(1) Participate in evaluation of NASA’s implementation of both internal and Federally mandated operational safety programs. Assist in developing Agency and Headquarters contingency plans; support development/operation of the NASA Emergency Preparedness Program and the Federal Response Plan, and other Federal emergency plans.

(2) Support technical safety evaluations in accordance with NASA Handbook 1700.1 (as updated) and 29 CFR1960; i.e., evaluation of loss prevention programs. Assist in the development of related checklists and guidelines.

(3) Provide technical support in the operation of the Incident Reporting Information System (IRIS) and preparation of mishap related reports, such as the annual summary of mishap rates for the Department of Labor.

1500 Quality Assurance

(1) Develop recommendations for quality guidance to be used by NASA field installations, contractors, and suppliers in requests for products and services. Guidance documents will be developed or revised for areas such as: insight and oversight, inspection systems and mandatory inspection requirements methods, test verification, supplier quality assurance and supplier metrics, metrology and calibration, quality verification of configuration management changes, problem and non conformance reporting, and corrective action requirements and systems.

(2) Develop informational and promotional means to help increase knowledge of, and use of ISO 9000.

2000 NASA Headquarters Facility

(1) Provide complete safety engineering, fire protection engineering, and emergency preparedness support for the NASA Headquarters facility located at 300 E. Street, SW, Washington, DC, and any other NASA Headquarters leased space. The contractor's activities shall conform to the applicable legal, regulatory or other recognized standards of NASA and other Federal agencies, and the District of Columbia, state, and local governments.

(2) Provide safety and health inspections and analyses for NASA Headquarters leased space. Assist in the development of checklists and guidelines, perform inspections, and follow up on corrective actions.

(3) Provide technical support to the NASA Headquarters facility for mishap report input into the Incident Reporting Information System (IRIS). Compile the annual summary of mishap rates. Provide mishap investigation, trending, corrective measures or corrective action plans, and lessons learned.

(4) Participate in and support safety training and awareness activities.

(END OF ATTACHMENT A)

APPENDIX C: NASW-99010 Incentive Fee Plan

The NASW-99010 Incentive Fee Plan is attached on the following pages.

SAFETY, RELIABILITY, MAINTAINABILITY AND QUALITY ASSURANCE (SRM&QA) SUPPORT SERVICES

INCENTIVE FEE PLAN

SEPTEMBER 1998

I. INTRODUCTION

This Incentive Fee Plan reflects the arrangements between the Government and the Contractor regarding incentive fees available under the contract. It explains the applicability and operation of incentive fee clauses contained elsewhere in the contract. This plan addresses both the negotiated incentive fees and annual contract performance award.

II. BACKGROUND

This contract is a cost-plus-incentive-fee (CPIF) contract for Safety, Reliability, Maintainability and Quality Assurance (SRM&QA) services in support of NASA Headquarters. This plan addresses the fees associated with Task Order based Incentive Fees. All Task Order Fees are determined individually on each Task Order issued by NASA and are independent of all other Task Orders issued. Additionally, this plan addresses an annual award fee for excellence.

III. DETERMINATION OF FEES ON COMPLETED TASK ORDERS

Section J, Attachment D, Task Order Authorization, of the contract schedule, provides a format for subsequent task orders. Any incentive fee determination associated with the contract shall be based on a series of factors. The total fee available for each Task Order will be based on the limitations in Clause B.7. The incentive fee awarded will be determined using the following formula which is pictorially displayed in Figure C-1:

(for Factors H>0 and J>0) $\quad$ $Incentive\ Fee = 0.01 * A * B * [C*D + E*F + G*H + I*J]$

(for Factors H=0 or J=0) $\quad$ $Incentive\ Fee = 0$

Notes on factor and formula determination:

Note 1: Performance at the nominally acceptable level will earn a "Performance Rating" of 85. A nominal Performance Rating of 85 in all areas will result in 85% of the total available fee for the task being awarded. A higher fee can be earned through early task completion, high quality, or anticipating the government's needs. Lower fees will likewise be earned through performance which is below nominal. Each Performance Rating listed below will give the range of ratings and the rating criteria.

Note 2: Factors C, E, G and I must add up to 100%.

Note 3: If either Factor H or Factor J equals zero (0) then the Task Order Incentive Fee will be reduced to zero ($0).

Factor A: Total Cost for the Task Order.

The amount is the final cost payable by the Government upon completion of the Task Order after all ceilings and cost limitations have been applied and any cost overrun corrections have been made. Factor A is shown in Dollars.

Factor B: Maximum Fee.

This percentage is listed in Section B.6 of the Contract. This percentage may be modified by the Contracting Officer in writing. Factor B is shown as a percentage.

Factor C: Task Plan Weighting Factor.

Factor C will be 15% unless specified otherwise in the Task Order. See note 2. Figure C-2 flowcharts how Factors C and D are determined.

Factor D: Task Plan Performance Rating.

The allowable range of Factor D is 0 to 100. Factor D will be determined using the following:

- Nominal Performance (Rating = 85) will be awarded for a task plan which is:
  - accepted within 5 business days of the Task Order's issuance,
  - after NASA review, there are no corrections that require resubmission beyond minor editorial changes.

- Higher than Nominal Performance (Rating = 100) will be awarded for a task plan which is accepted by NASA on the first submission and requires no corrections.

- Less than Nominal Performance (Rating between 84 and 0) The rating will be decremented from 85 on the following basis:
  - 5 points for each day beyond 5 business days from Task Order issuance.
  - 5 points for each resubmission other than minor editorial corrections.

Factor E: Cost Weighting Factor.

Factor E will be 20% unless specified otherwise in the Task Order. See note 2. Figure C-3 flowcharts how Factors E and F are determined.

Factor F: Task Plan Performance Rating.

The allowable range of Factor F is 0 to 100. Factor F will be determined after acceptance of all final task products. A Cost Ratio will be determined as the Actual Cost of the task divided by the final Negotiated Cost. The Cost Ratio will be shown as decimal. Factor F will be determined using the following:

- Nominal Performance (Rating = 85) will be for a Task Cost Ratio of 1.

- Higher than Nominal Performance (Rating between 86 and 100) will be awarded for Cost Ratios which are less than 1. The rating will be determined using the following formula:

Rating = 85 + [100 (1-(Cost Ratio))]^(3/2)*

- Less than Nominal Performance (Rating between 0 and 84) will be awarded for Cost Ratios which are greater than 1.

Rating = 85 - [100 ((Cost Ratio)-1)]^(3/2)*

***Example**: A Negotiated Task Cost of $10,000 and Actual Cost of $9,748 would have a cost ratio of 0.9748 giving a rating of 89.*

Factor G: Schedule Weighting Factor.

Factor G will be 25% unless specified otherwise in the Task Order. See note 2. Figure C-4 flowcharts how Factors G and H are determined.

Factor H:

Factor H is the Schedule Performance Rating. The allowable range of Factor H is 0 to 100. However, schedule is also considered during evaluation of Factor J. Factor H will be determined using the date when the final product from the task was accepted by the Government. The government will assign one of the following four levels of schedule criticality when the task order is issued. See Note 3. The levels are:

1) Routine: Tasks which are schedule driven by the Code Q staff and do not directly impact a mission or NASA as a whole.

2) Priority: Tasks which are schedule driven by the Deputy Associate Administrator for Safety and Mission Assurance, or equivalent or higher authority or is external to NASA. The effect of missing the target date does not directly impact a mission or NASA as a whole outside of NASA.

3) Critical: Tasks which are schedule driven by the NASA Administrator's schedule, a NASA mission or by an organization outside of NASA which directly impacts the functioning of NASA. (i.e. Congress, White House, legal, national media).

4) Emergency: Tasks are issued to handle an immediate need based on an incident or extremely time critical event.

- Nominal Performance (Rating = 85) will be assigned for acceptance of all final task products within one business day of negotiated due date. For Emergency level tasks, "Nominal Performance" will be assessed if the schedule for the Emergency Task is met as needed.

- Higher than Nominal Performance (Rating between 86 and 100) will be awarded for final product acceptance dates per the table below:

Time early	Routine Task	Priority Task	Critical Task
on-time or 1 business day	85	85	85
2 business days	88	89	90
3 business days	91	93	95
4 business days	94	97	100
5 business days	97	100	100
> 5 business days	100	100	100

For Emergency level tasks, "Higher than Nominal Performance" with a rating of 100 will be assessed for tasks completed a minimum of a full business day prior to the needed date.

- Less than Nominal Performance (Rating between 84 and 0) will be awarded for final product acceptance dates per the table below:

Time late	Routine Task	Priority Task	Critical Task
on-time or 1 business day	85	85	85
2 business days	82	81	80
3 business days	79	77	75
4 business days	76	73	0
5 business days	73	0	0
> 5 business days	0	0	0

For Emergency Level Tasks, "Less than Nominal Performance" with a rating of 0 will be assessed for tasks missing the needed date by more than one business day.

Factor I: Customer Satisfaction Weighting Factor.

Factor I will be 40% unless specified otherwise in the Task Order. See note 2. Figure C-5 flowcharts how Factors I and J are determined.

Factor J: Customer Satisfaction Performance Rating.

The allowable range of Factor H is 0 to 100. Factor J will be determined after acceptance of the final task products.

The Contractor will be evaluated for customer satisfaction on each task in relation to their technical performance. The incentive fee will be impacted by this technical performance evaluation. The amount earned by the contractor will be calculated in the following manner:

Nominal Performance: (Rating = 85) will be awarded for a task completed on schedule with a product that meets the Government's requirements stated in the Task Order and agreed to in the Task Plan.

Higher than Nominal Performance: (Rating = 100) may be awarded for a task completed within schedule, with a level of service and quality of product that exceed expectations. The Contractor displays ingenuity and some inventiveness in the conduct of the task and/or the utility of the product may have an impact on SMA NASA-wide. Also, the Contractor must have anticipated the Government's needs.

To be considered for a "Higher than Nominal" rating, the Contractor must document the innovation and ingenuity used in performing the Task Order. The evaluation must accompany the Final Report for the Task Order.

Less than Nominal Performance:

- Needs Improvement Rating: (Rating = 50) will be awarded when contractor completed the task, but the deliverable requires significant amounts of rework and/or additional time in order to meet the specifications and/or make the output useable. Delays are within the Contractor's span of control.
- Unsatisfactory Rating: (Rating =0) The Contractor fails to accomplish the work assigned under the task, or the product is not useable as delivered. It is not feasible to accomplish the task through rework, and the effort must be started over. See note 3.

IV. PAYMENT OF TASK ORDER FEES

A. Special Cases

1) Tasks which are terminated, truncated, or canceled at the convenience of the Government will receive the incentive fee generated to that point using the formula specified in Section III Factors will be determined using the following criteria:

Factor A: Actual cost to the point of termination, truncation, or cancellation is used.

Factor F: The Cost Ratio will be determined using the Actual Cost to the point of termination, truncation, or cancellation divided by the Task Plan Cost which was expected to be expended to that point.

Factors I and K: Nominal Performance is assumed and a rating of 85 is assigned.

Factors B, C, D, E, G, H and J : Determined the in the same manner as in Section III.

2) Tasks which are terminated, truncated, or canceled as a result of substandard performance or at the Contractor's request will not receive any incentive fee for that Task Order.

B. Payment of Fees

1) Normally, determination of the fees will be made within 15 business days after delivery of the Task Order Completion Report. The Contractor may bill for provisional payment of cost incentive fees in accordance with the Incentive Fee clause (52.216-10).

2) If the Contractor and the Government fail to agree on the determination of final allowable cost and the adjusted cost incentive fee, the Contracting Officer may unilaterally determine the final cost incentive fee. The determination may be subject to the Disputes clause.

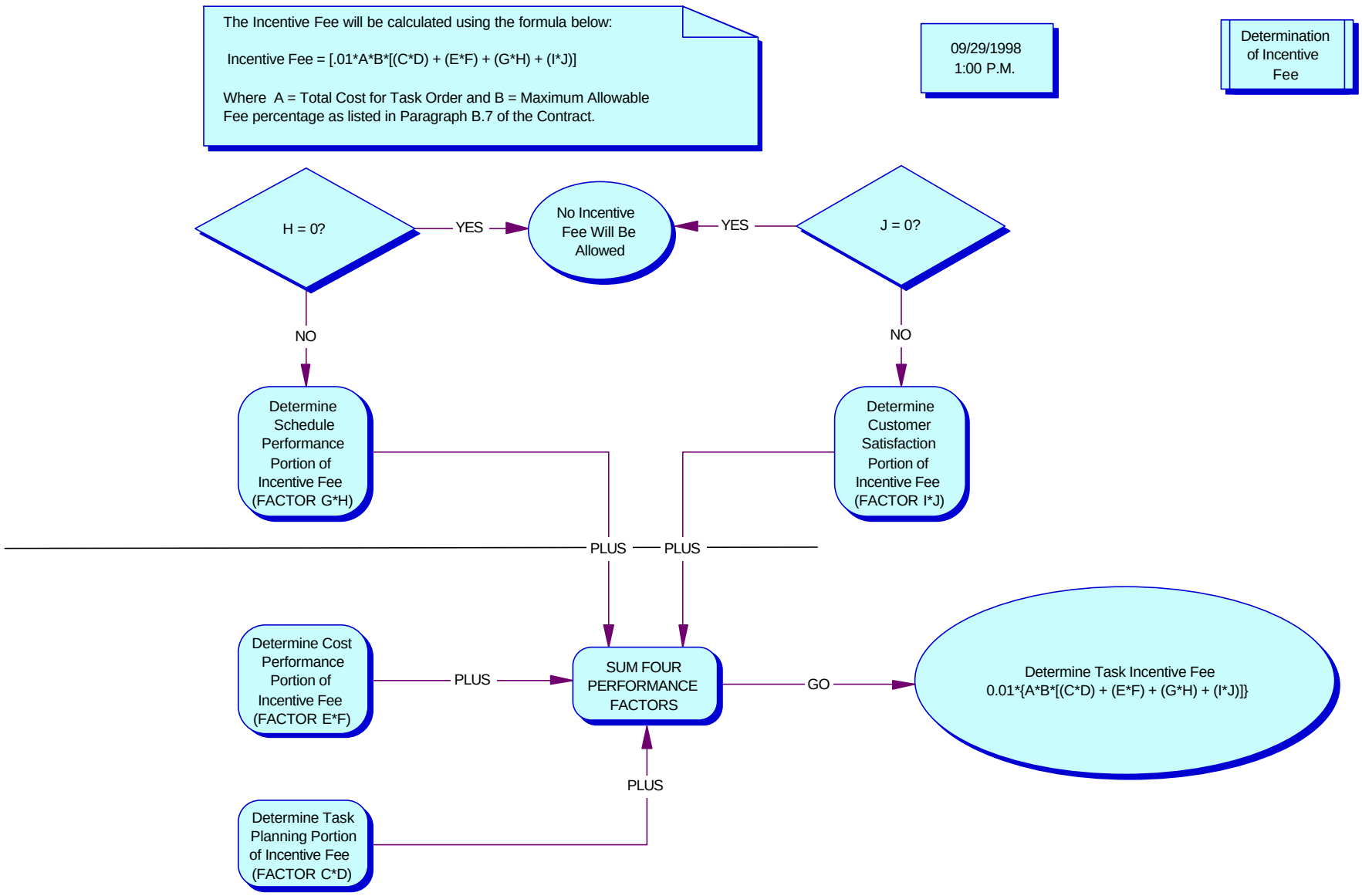
3) If, after the adjusted cost incentive fee has been determined, a refund of provisional payments is due the Government, the Contractor will follow the Contracting Officer's instructions regarding refund or transfer of overpayments of cost incentive fee to cover costs incurred in contract performance.

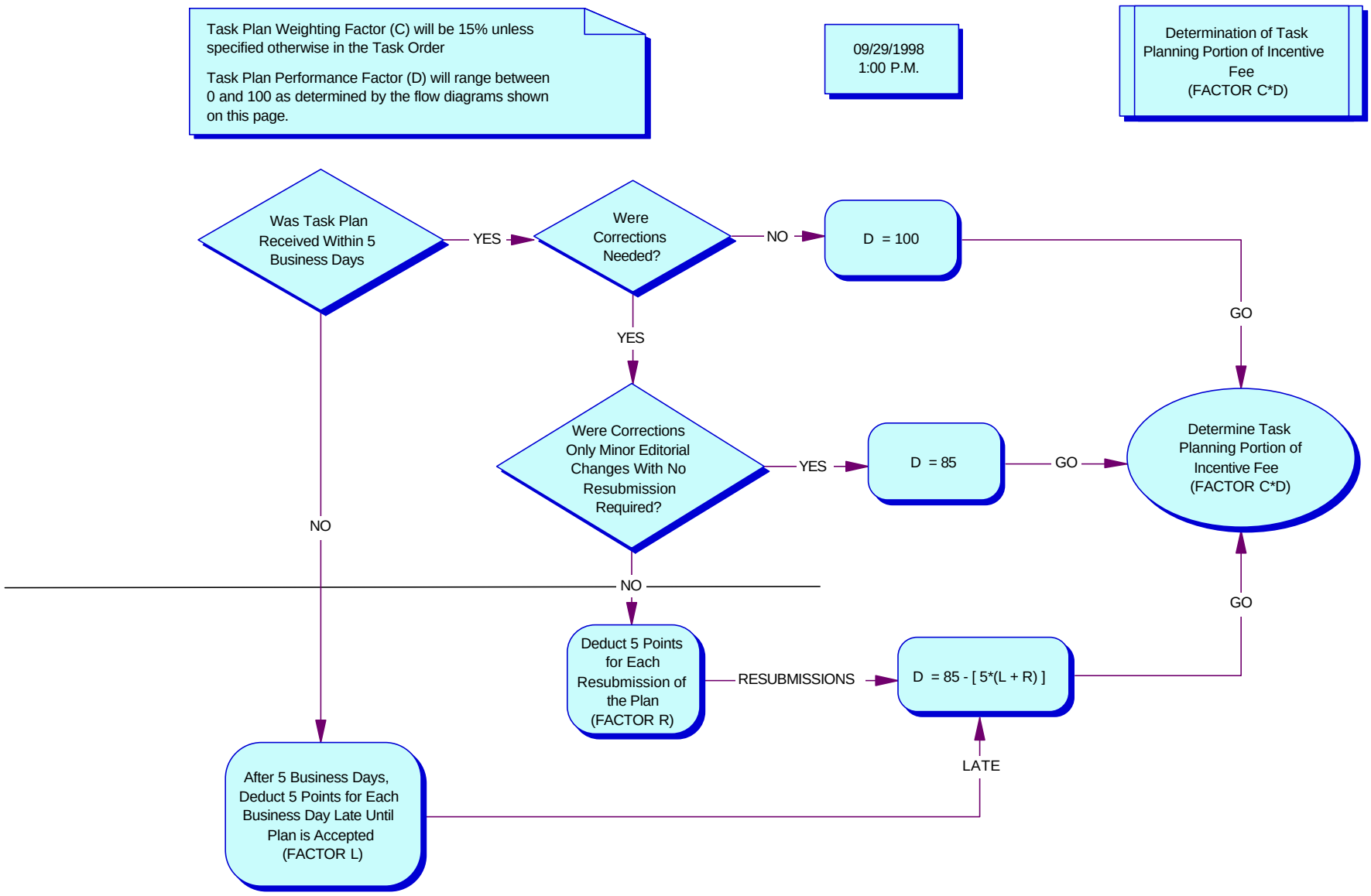
V. ANNUAL AWARD FEE FOR EXCELLENCE

Annually, the Government will review the contract and the results generated under the contract. Throughout the contract, the Government will develop a Performance Award "Pool" based on the number and size of Task Orders issued. The total amount which may be available in the "pool" is tbd. The Contractor may submit a report to the Contracting Officer requesting receipt of some or all of the "Pool." The request should include significant accomplishments and general self-assessment of the importance, innovation, and savings derived through the work that the Contractor has performed under the Contract during that period. Providing this report to the Contract Officer is optional and not required under the Contract. The Annual Award Fee For Excellence is paid as a lump sum in accordance with Clause I.3.

The Annual Award Fee for Excellence Award is above and beyond the incentive and other fees associated with each Task Order. The final determination of the amount awarded is at the option of the Government and is not subject to the Dispute Clause.

(End of Attachment C)


The Incentive Fee will be calculated using the formula below:
Incentive Fee = [.01*A*B*[(C*D) + (E*F) + (G*H) + (I*J)]
Where A = Total Cost for Task Order and B = Maximum Allowable Fee percentage as listed in Paragraph B.7 of the Contract.
09/29/1998 1:00 P.M.
Determination of Incentive Fee
H = 0?
YES
No Incentive Fee Will Be Allowed
YES
J = 0?
NO
NO
Determine Schedule Performance Portion of Incentive Fee (FACTOR G*H)
Determine Customer Satisfaction Portion of Incentive Fee (FACTOR I*J)
PLUS
PLUS
Determine Cost Performance Portion of Incentive Fee (FACTOR E*F)
PLUS
SUM FOUR PERFORMANCE FACTORS
GO
Determine Task Incentive Fee 0.01*{A*B*[(C*D) + (E*F) + (G*H) + (I*J)]}
PLUS
Determine Task Planning Portion of Incentive Fee (FACTOR C*D)

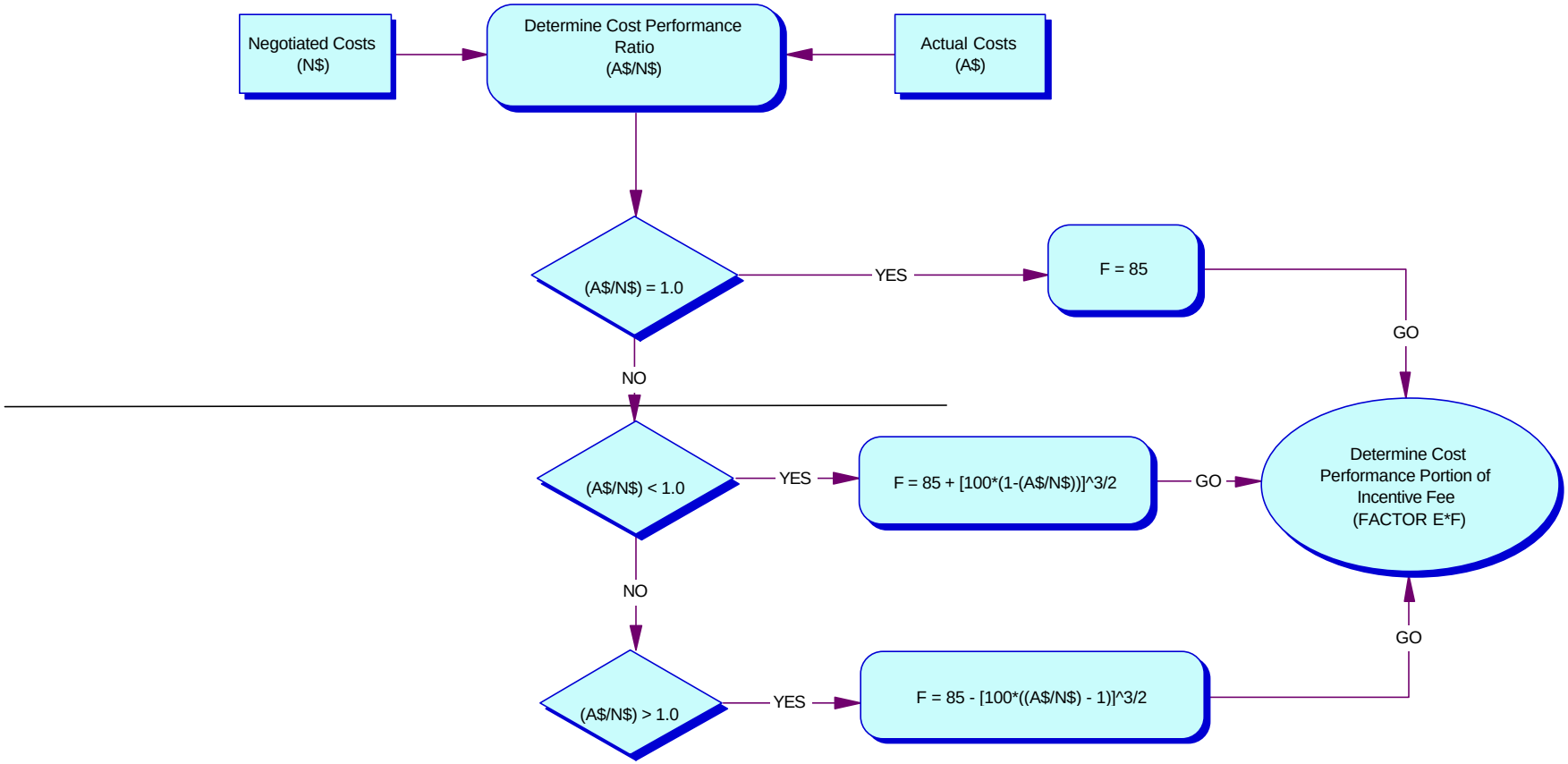

Task Plan Weighting Factor (C) will be 15% unless specified otherwise in the Task Order
Task Plan Performance Factor (D) will range between 0 and 100 as determined by the flow diagrams shown on this page.
09/29/1998 1:00 P.M.
Determination of Task Planning Portion of Incentive Fee (FACTOR C*D)
Was Task Plan Received Within 5 Business Days
YES
Were Corrections Needed?
NO
D = 100
GO
YES
Were Corrections Only Minor Editorial Changes With No Resubmission Required?
YES
D = 85
GO
Determine Task Planning Portion of Incentive Fee (FACTOR C*D)
NO
NO
GO
Deduct 5 Points for Each Resubmission of the Plan (FACTOR R)
RESUBMISSIONS
D = 85 - [5*(L + R)]
LATE
After 5 Business Days, Deduct 5 Points for Each Business Day Late Until Plan is Accepted (FACTOR L)

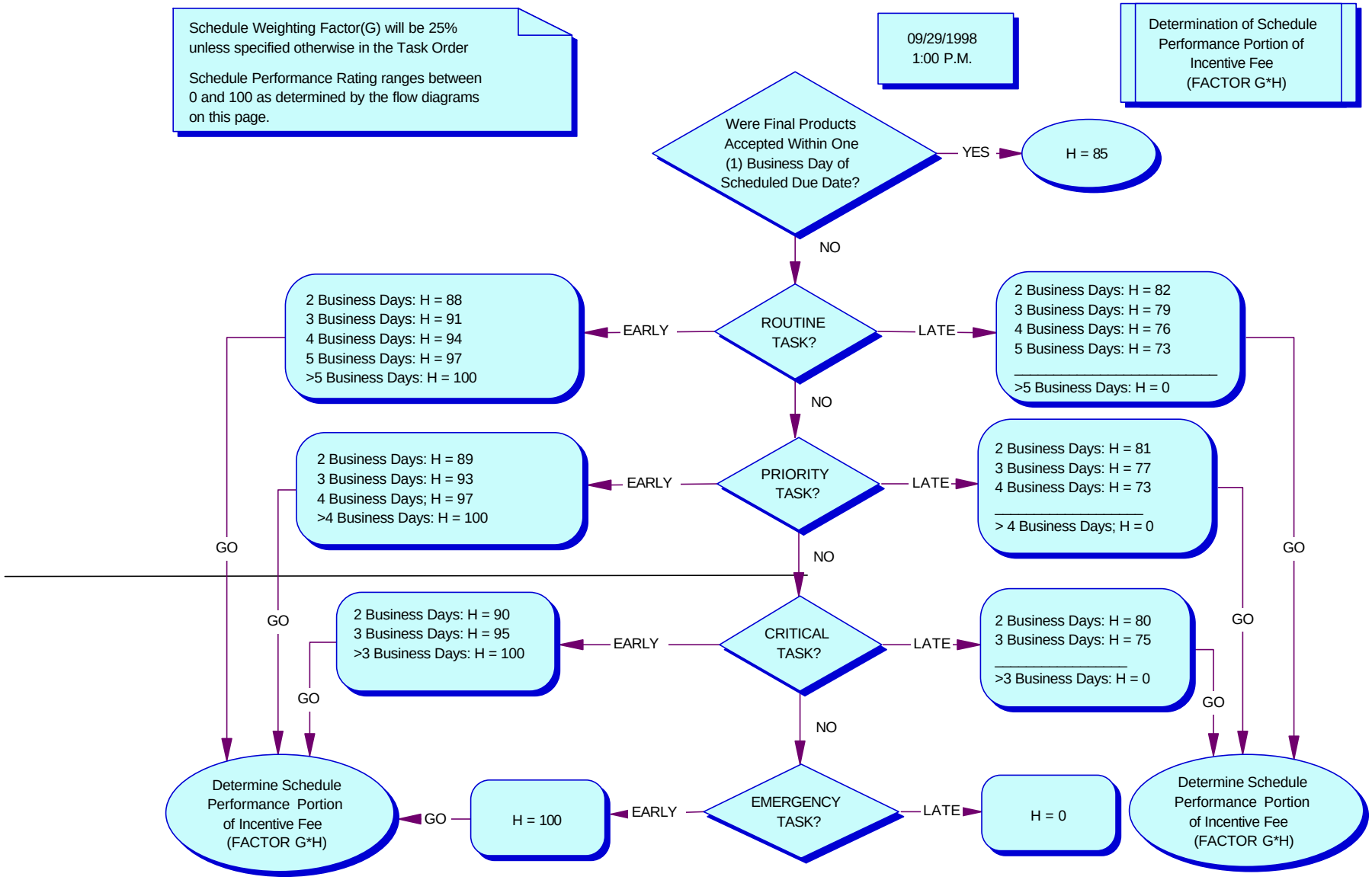
Cost Weighting Factor (E) will be 20% unless specified otherwise in the Task Order.

Cost Performance Rating Factor (F) ranges between 0 and 100 as determined by the flow diagrams shown on this page.

09/29/1998
1:00 P.M.

Determination of Cost Performance Portion of Incentive Fee (FACTOR E*F)




Schedule Weighting Factor(G) will be 25% unless specified otherwise in the Task Order
Schedule Performance Rating ranges between 0 and 100 as determined by the flow diagrams on this page.
09/29/1998 1:00 P.M.
Determination of Schedule Performance Portion of Incentive Fee (FACTOR G*H)
Were Final Products Accepted Within One (1) Business Day of Scheduled Due Date?
YES
H = 85
NO
ROUTINE TASK?
EARLY
2 Business Days: H = 88
3 Business Days: H = 91
4 Business Days: H = 94
5 Business Days: H = 97
>5 Business Days: H = 100
LATE
2 Business Days: H = 82
3 Business Days: H = 79
4 Business Days: H = 76
5 Business Days: H = 73
>5 Business Days: H = 0
NO
PRIORITY TASK?
EARLY
2 Business Days: H = 89
3 Business Days: H = 93
4 Business Days; H = 97
>4 Business Days: H = 100
LATE
2 Business Days: H = 81
3 Business Days: H = 77
4 Business Days: H = 73
> 4 Business Days; H = 0
NO
CRITICAL TASK?
EARLY
2 Business Days: H = 90
3 Business Days: H = 95
>3 Business Days: H = 100
LATE
2 Business Days: H = 80
3 Business Days: H = 75
>3 Business Days: H = 0
NO
EMERGENCY TASK?
EARLY
H = 100
LATE
H = 0
GO
Determine Schedule Performance Portion of Incentive Fee (FACTOR G*H)
Determine Schedule Performance Portion of Incentive Fee (FACTOR G*H)

Customer Satisfaction Weighting Factor (I) will be 40% unless specified otherwise in the Task Order.

Customer Satisfaction Performance Rating Factor (J) will range between 0 and 100 as determined by the flow diagrams shown on this page.

09/29/1998
1:00 P.M.

Determination of Customer Satisfaction Portion of Incentive Fee (FACTOR I*J)